

Applicant or Patentee : James E. Moon, Gary A. Schultz, Thomas N. Corso,  
Timothy J. Davis, Gregory J. Galvin, Stephen Lowes  
Serial or Patent No. : 09/156,507  
Filed or Issued : September 17, 1998  
For : INTEGRATED MONOLITHIC MICROFABRICATED  
ELECTROSPRAY AND LIQUID CHROMATOGRAPHY  
SYSTEM AND METHOD

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern  
identified below:

NAME OF CONCERN : Kionix, Inc.  
ADDRESS OF CONCERN : 22 Thornwood Drive  
Ithaca, New York 14850

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD** by inventors James E. Moon, Gary A. Schultz, Thomas N. Corso, Timothy J. Davis, Gregory J. Galvin, Stephen Lowes described in

- ☐ the specification filed herewith  
☒ U.S. Patent Application Serial No.: 09/156,507  
Filed: September 17, 1998  
☐ U.S. Patent No.:  
Issued:

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME : Advanced Bioanalytical Services, Inc.  
ADDRESS : 15 Catherwood Road, Ithaca, New York 14850

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

SIGNATURE: [Signature] DATE: 3/11/95

Applicant or Patentee : James E. Moon, Gary A. Schultz, Thomas N. Corso,  
Timothy J. Davis, Gregory J. Galvin, Stephen Lowes  
Serial or Patent No. : 09/156,507  
Filed or Issued : September 17, 1998  
For : INTEGRATED MONOLITHIC MICROFABRICATED  
ELECTROSPRAY AND LIQUID CHROMATOGRAPHY  
SYSTEM AND METHOD



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern  
identified below:

NAME OF CONCERN : Advanced Bioanalytical Services, Inc.  
ADDRESS OF CONCERN : 15 Catherwood Road  
Ithaca, New York 14850

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD** by inventors James E. Moon, Gary A. Schultz, Thomas N. Corso, Timothy J. Davis, Gregory J. Galvin, Stephen Lowes described in

- ☐ the specification filed herewith  
☒ U.S. Patent Application Serial No.: 09/156,507  
Filed: September 17, 1998  
☐ U.S. Patent No.:  
Issued:

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME : Kionix, Inc.  
ADDRESS : 22 Thornwood Drive, Ithaca, New York 14850

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME :  
ADDRESS :

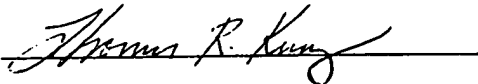
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING : Thomas R. Kurz  
TITLE OF PERSON OTHER THAN OWNER : General Manager  
ADDRESS OF PERSON SIGNING : 15 Catherwood Road  
Ithaca, New York 14850

SIGNATURE:



DATE: MARCH 12, 1999

COMBINED DECLARATION FOR PATENT  
APPLICATION AND POWER OF ATTORNEY  
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER  
200701/1030

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID  
CHROMATOGRAPHY SYSTEM AND METHOD**

the specification of which (check only one item below):

- ☐ is attached hereto.
- ☒ was filed as U.S. Patent Application Serial No. 09/156,507 on September 17, 1998 and was amended on \_\_\_\_\_ (if applicable).
- ☐ was filed as PCT International Application No. \_\_\_\_\_ on \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specifications, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

**PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:**

COUNTRY (IF PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:

**PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:**

U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED	
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			





COMBINED DECLARATION FOR PATENT  
APPLICATION AND POWER OF ATTORNEY  
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER  
200701/1030

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID  
CHROMATOGRAPHY SYSTEM AND METHOD**

the specification of which (check only one item below):

- ☐ is attached hereto.
- ☒ was filed as U.S. Patent Application Serial No. 09/156,507 on September 17, 1998 and was amended on \_\_\_\_\_  
(if applicable).
- ☐ was filed as PCT International Application No. \_\_\_\_\_ on \_\_\_\_\_ and was amended under PCT Article 19 on  
(if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specifications, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

**PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:**

COUNTRY (IF PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:

**PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:**

U.S. APPLICATIONS		STATUS (Check One)			
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED	
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			



**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY (Continue)**

**ATTORNEY'S DOCKET NUMBER**  
200701/1030

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. **Michael L. Goldman, Registration No. 30,727, Gunnar G. Leinberg, Registration No. 35,584; Dennis M. Connolly, Registration No. 40,964; Edwin V. Merkel, Registration No. 40,087, Jeffery B. Arnold, Registration No. 39,540**

**Send Correspondence to:** **Michael L. Goldman**  
**Nixon, Hargrave, Devans & Doyle LLP**  
**Clinton Square, P.O. Box 1051**  
**Rochester, New York 14603**

**Direct Telephone Calls to:**  
**(name and telephone number)**  
**Michael L. Goldman**  
**(716) 263-1304**

201	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
202	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
203	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
204	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
205	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
206	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201 <i>James E. Moon</i>	SIGNATURE OF INVENTOR 202 <i>Timothy J. G. S.</i>	SIGNATURE OF INVENTOR 203 <i>[Signature]</i>
DATE <i>March 11, 1999</i>	DATE <i>March 11, 1999</i>	DATE <i>3/11/99</i>
SIGNATURE OF INVENTOR 204	SIGNATURE OF INVENTOR 205	SIGNATURE OF INVENTOR 206
DATE	DATE	DATE

Page 3 of 3

002201-022090

Express Mail Label No. EL675131054US

PATENT APPLICATION

Docket: 14917.1.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Moon et al.

Prior Application

Serial No.: 09/156,507

For:

INTEGRATED MONOLITHIC MICROFABRICATED  
ELECTROSPRAY AND LIQUID  
CHROMATOGRAPHY SYSTEM AND METHOD

)  
)  
)  
)  
)  
) Art Unit  
) 1741  
)  
)  
)

ASSOCIATE POWER OF ATTORNEY

Assistant Commissioner for Patents  
Washington, D. C. 20231

Sir:

Please recognize KYLE H. FLINDT, Registration No. 42,539, and WILLIAM J. ATHAY, Registration No. 44,515 as associate attorneys for us in the above-entitled application. Please address all future written and telephonic communications to:

002207 00000000

David O. Seeley  
WORKMAN, NYDEGGER & SEELEY  
1000 Eagle Gate Tower  
60 East South Temple  
Salt Lake City, Utah 84111

Dated this 27th day of October 2000.

Respectfully submitted,



David O. Seeley  
Attorney for Applicants  
Registration No. 30,148

WORKMAN, NYDEGGER & SEELEY  
1000 Eagle Gate Tower  
60 East South Temple  
Salt Lake City, Utah 84111  
Telephone: (801) 533-9800  
Fascimile: (801) 328-1707

G:\DATA\WPDOCS\CM\1491711.APA



**UNITED STATES DEPARTMENT OF COMMERCE**  
**Patent and Trademark Office**  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JANUARY 10, 2000

PTAS

WORKMAN, NYDEGGER & SEELEY  
DAVID O. SEELEY  
1000 EAGLE GATE TOWER  
60 EAST SOUTHWEST TEMPLE  
SALT LAKE CITY, UT 84111



\*101174456A\*

**UNITED STATES PATENT AND TRADEMARK OFFICE**  
**NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

JC920 U.S. PTO  
09/698329  
10/27/00

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/12/1999

REEL/FRAME: 010304/0132  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MOON, JAMES E.

DOC DATE: 09/29/1999

ASSIGNOR:

DAVIS, TIMOTHY J.

DOC DATE: 09/29/1999

ASSIGNOR:

GALVIN, GREGORY J.

DOC DATE: 09/29/1999

ASSIGNEE:

KIONIX, INC.  
22 THORNWOOD DRIVE  
ITHACA, NEW YORK 14850

SERIAL NUMBER: 09156507  
PATENT NUMBER:

FILING DATE: 09/17/1998  
ISSUE DATE:

010304/0132 PAGE 2

SHAREILL COLES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

10-15-1999

FORM PTO-1595

(Rev. 8-93)

OMB No. 0651-0011 (exp. 4/94)

RECC



EET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

101174456

Tab settings ☐ ☐ ☐ ☐

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

James E. Moon  
Timothy J. Davis  
Gregory J. GalvinMRO  
10-18-99Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 2. Name and address of receiving party(i s)

Name: KIONIX, INC.

Internal Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

22 Thornwood DriveCity: Ithaca State: NY ZIP: 14850Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other \_\_\_\_\_Execution Date: September 29, 1999

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

## A. Patent Application No.(s)

Serial No. 09/156,507  
September 17, 1998

## B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

David O. SeeleyName: WORKMAN, NYDEGGER & SEELEY

Internal Address: \_\_\_\_\_

Street Address: 1000 Eagle Gate Tower60 East South TempleCity: Salt Lake City State: UT ZIP: 84111

## 6. Total number of applications and patents involved:

17. Total fee (37 CFR 3.41).....\$ 40.00☒ Enclosed 403☐ Authorized to be charged to deposit account

## 8. Deposit account number:

23-3178

(Attach duplicate copy of this page if paying by deposit account)

10/18/1999 MTHA11 00000327 09156507

DO NOT USE THIS SPACE

01 FC:501 40.00 OP

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David O. Seeley

Name of Person Signing

Signature

10-12-99

Date

4

Total number of pages including cover sheet, attachments, and document:

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignments

ASSIGNMENT

WHEREAS, we, JAMES E. MOON, a United States citizen, residing at 122 East Remington Road, Ithaca, New York 14850; TIMOTHY J. DAVIS, a United States citizen, residing at 2283 State Route 96, Trumansburg, New York 14886; and, GREGORY J. GALVIN, a United States citizen, residing at 124 E. King Road, Ithaca, New York 14850, have invented certain new and useful improvements in INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD for which we have executed an application for Letters Patent in the United States, filed in the United States Patent and Trademark Office as Serial No. 09/156,507, on September 17, 1998, using Express Mail Label No. EL130238692US.

WHEREAS, KIONIX, INC., a New York corporation, with its principal place of business at 22 Thornwood Drive, Ithaca, New York 14850, desires to acquire the entire right, title and interest in and to the said improvements and the said Application;

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and valuable consideration paid to us, the receipt and sufficiency of which we hereby acknowledge, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over unto the said KIONIX, INC.:

The entire right, title and interest in said invention in the above-identified United States patent application and in all divisions, continuations and continuations-in-part of said application, or reissues or extensions of Letters Patent or Patents granted thereon, and in all corresponding applications which may be filed in countries foreign to the United States, and in all patents issuing thereon in the United States and foreign countries.

The right to file foreign patent applications on said invention in its own name, wherever such right may be legally exercised, including the right to claim the benefits of the International Convention for such applications.

We hereby authorize and request the United States Commissioner of Patents and Trademarks, and such Patent Office officials in foreign countries as are duly authorized by their patent laws to issue patents, to issue any and all patents on said invention to the Assignee as the owner of the entire interest, for the sole use and behoof of the said Assignee, its successors, assigns and legal representatives.

We hereby agree, without further consideration and without expense to us, to sign all lawful



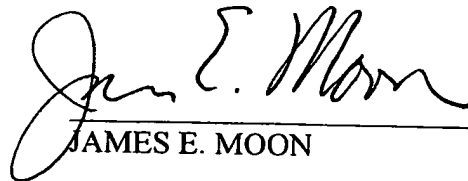
papers and to perform all other lawful acts which the Assignee may request of us to make this Assignment fully effective, including, by way of example but not of limitation, the following:

Prompt execution of all original, divisional, substitute, reissue, and other United States and foreign patent applications on said invention, and all lawful documents requested by the Assignee to further the prosecution of any of such patent applications.

Cooperation to the best of our ability in the execution of all lawful documents, the production of evidence, nullification, reissue, extension, or infringement proceedings involving said invention.

This assignment and agreement shall be binding upon our heirs and legal representatives.

IN WITNESS HEREOF, I hereunto set my hand this 29 day of September, 1999.

  
JAMES E. MOON

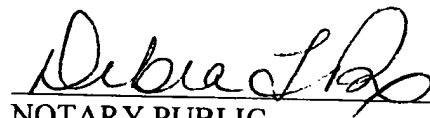
STATE OF NEW YORK     )  
                                      : ss.  
COUNTY OF Tompkins     )

On the 29<sup>th</sup> day of September, 1999, before me personally appeared JAMES E. MOON, known to me to be the person described and who signed the foregoing Assignment in my presence and acknowledged under oath before me that he has read the same and know the contents thereof and that he executes the same as his free act and deed and for the purposes set forth therein.

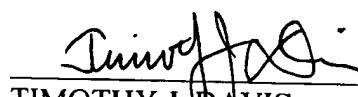
My Commission Expires:

7/21/01

DEBRA J. FOX  
NOTARY PUBLIC, State of New York  
No. 01F05082101  
Qualified in Tompkins County  
Commission Expires 7/21/01

  
NOTARY PUBLIC  
Residing at Freeville, NY

IN WITNESS HEREOF, I hereunto set my hand this 29 day of September, 1999.

  
TIMOTHY J. DAVIS

STATE OF NEW YORK     )  
  : SS.  
COUNTY OF Tompkins )

On the 28<sup>th</sup> day of September, 1999, before me personally appeared TIMOTHY J. DAVIS, known to me to be the person described and who signed the foregoing Assignment in my presence and acknowledged under oath before me that he has read the same and know the contents thereof and that he executes the same as his free act and deed and for the purposes set forth therein.

My Commission Expires:

7/21/01  
DEBRA J. FOX  
NOTARY PUBLIC, State of New York  
No. 01F05082101  
Qualified in Tompkins County  
Commission Expires 7/21/01

Debra J. Fox  
NOTARY PUBLIC  
Residing at Freeville, NY

IN WITNESS HEREOF, I hereunto set my hand this 28<sup>th</sup> day of September, 1999.

GREGORY J. GALVIN  
GREGORY J. GALVIN

STATE OF NEW YORK     )  
  : SS.  
COUNTY OF Tompkins )

On the 28<sup>th</sup> day of September, 1999, before me personally appeared GREGORY J. GALVIN, known to me to be the person described and who signed the foregoing Assignment in my presence and acknowledged under oath before me that he has read the same and know the contents thereof and that he executes the same as his free act and deed and for the purposes set forth therein.

My Commission Expires:

7/21/01

Debra J. Fox  
NOTARY PUBLIC  
Residing at Freeville, NY

G:\DATA\WPDOCS2\JBS\14917-1.ASN

DEBRA J. FOX  
NOTARY PUBLIC, State of New York  
No. 01F05082101  
Qualified in Tompkins County  
Commission Expires 7/21/01



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JUNE 17, 1999

PTAS

NIXON, HARGRAVE, DEVANS & DOYLE LLP  
MICHAEL L. GOLDMAN  
CLINTON SQUARE  
P.O. BOX 1051  
ROCHESTER, NEW YORK 14603



\*101008797A\*

JC920 U.S. PTO  
09/698329  
10/27/00

**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/01/1999

REEL/FRAME: 9868/0565  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SCHULTZ, GARY A.

DOC DATE: 03/15/1999

ASSIGNOR:

CORSO, THOMAS N.

DOC DATE: 03/12/1999

ASSIGNOR:

LOWES, STEPHEN

DOC DATE: 03/15/1999

ASSIGNEE:

ADVANCED BIOANALYTICAL SERVICES,  
INC.

15 CATHERWOOD ROAD  
ITHACA, NEW YORK 14850

SERIAL NUMBER: 09156507  
PATENT NUMBER:

FILING DATE: 09/17/1998  
ISSUE DATE:

**ENTERED**  
Nixon Peabody LLP

JUL 26 1999

FILE 200701/1030  
DKT all

9868/0565 PAGE 2

LAWAN FLETCHER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

04-12-1999



101008797

N FORM COVER SHEET

RECEIVED

PATENTS ONLY 1999 APR -1 AM 8: 58

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof: OPR/FINANCE

<p>1. Name of conveying party(ies):</p> <p><b>Gary A. Schultz</b> <b>Thomas N. Corso</b> <b>Stephen Lowes</b></p> <p style="text-align: right; margin-right: 50px;"><i>MCD</i> <i>4-1-99</i></p>	<p>2. Name and address of receiving party(ies):</p> <p><b>Advanced Bioanalytical Services, Inc.</b> <b>15 Catherwood Road</b> <b>Ithaca, New York 14850</b></p>
<p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: _____</p> <p>Execution Date(s):</p> <p>1st Inventor:           <b>March 15, 1999</b> 2nd Inventor:           <b>March 12, 1999</b> 3rd Inventor:           <b>March 15, 1999</b> 4th Inventor:</p>	<p>4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date(s) of the application is(are):</p> <p>1st (sole) Inventor: 2nd Inventor: 3rd Inventor: 4th Inventor:</p> <p>A. Patent Application No.(s):   <b>09/156,507</b></p> <p>B. Patent No.(s):</p>

04/08/1999 JSHABAZZ 00000221 09156507

01 FC:581

40.00 OP

Page 1 of 2

5. Name and address of party to whom correspondence concerning document should be mailed:

Michael L. Goldman  
Nixon, Hargrave, Devans & Doyle LLP  
Clinton Square  
P.O. Box 1051  
Rochester, New York 14603

6. Total number of applications and patents involved: 1779 APR -1 AM 8:58

OPR/FINANCE

7. Total fee (37 CFR 3.41): \$40.00

☐ Previously paid (see original transmittal)

☒ A check in the amount of \$40.00 is enclosed.

8. Deposit Account Number: 14-1138

☐ Charge total fee to account.

☒ Charge any additional fees to account.

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Date: March 26, 1999

Michael L. Goldman

Michael L. Goldman  
Registration No. 30,727

[Total number of pages including cover sheet, attachments and document: 4]

Certificate of Mailing 37 CFR 1.8 (a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date below.

3/29/99 J. J. [Signature]

Page 2 of 2

ASSIGNMENT


WHEREAS, We, **Gary A. Schultz**, a United States citizen, residing at 323 Richard Place, Ithaca, New York 14850, **Thomas N. Corso**, a United States citizen, residing at 5 Mineah Road, Apt. 7, Freeville, New York 13068, and **Stephen Lowes**, a United States citizen residing at 418 Ferguson Road, Freeville, New York 13068, have invented certain new and useful improvements in **INTEGRATED MONOLITHIC MICROFABRICATED ELECTROSPRAY AND LIQUID CHROMATOGRAPHY SYSTEM AND METHOD** for which we have executed an application for Letters Patent in the United States, filed as U. S. Serial No. 09/156,507 on September 17, 1998;

AND WHEREAS, **Advanced Bioanalytical Services, Inc.**, a New York corporation, with its principal place of business at 15 Catherwood Road, Ithaca, New York 14850, desires to acquire the entire right, title and interest in and to the said improvements and the said Application:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said **Advanced Bioanalytical Services, Inc.**, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said **Advanced Bioanalytical Services, Inc.**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we will communicate to the said **Advanced Bioanalytical Services, Inc.**, its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said **Advanced Bioanalytical Services, Inc.**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 15 day of MARCH, 1999.

  
Gary A. Schultz

STATE OF NEW YORK  
COUNTY OF RAMPONS SS:

This 15 day of MARCH, 1999, before me personally came the above-named **Gary A. Schultz**, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

  
Notary Public

**DOUGLAS VOLPICELLI**  
Notary Public, State of New York

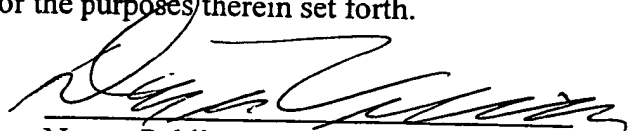
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 12 day  
of MARCH, 1999.

  
Thomas N. Corso

STATE OF NEW YORK  
COUNTY OF TOMPKINS SS:

This 12 day of MARCH, 1999, before me personally came the  
above-named THOMAS N. CORSO, to me personally known as the individual  
who executed the same of his/her own free will for the purposes therein set forth.

DOUGLAS VOLPICELLI  
Notary Public, State of New York  
No. 01VO4878098  
Qualified in Tompkins County  
Commission Expires Nov. 24, 2002

  
Notary Public

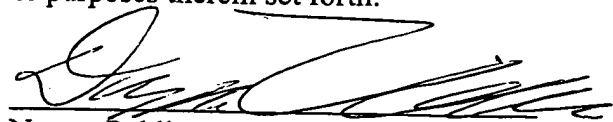
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 15 day  
of MARCH, 1999.

  
Stephen Lowes

STATE OF NEW YORK  
COUNTY OF TOMPKINS SS:

This 15 day of MARCH, 1999, before me personally came the  
above-named STEPHEN LOWES, to me personally known as the individual  
who executed the same of his/her own free will for the purposes therein set forth.

DOUGLAS VOLPICELLI  
Notary Public, State of New York  
No. 01VO4878098  
Qualified in Tompkins County  
Commission Expires Nov. 24, 2002

  
Notary Public